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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 1 of 1

**Complete if Known**

Application Number	10/730,360
Filing Date	09 December 2003
First Named Inventor	BALABON, Sam
Group Art Unit	3624
Examiner Name	Alpert, James. M.
Attorney Docket Number	12664-1

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,689,652		LUPIEN et al.	11-18-1997	

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>3</sup>
		"Researchers Study the Cost of Conducting Trades in Financial Markets", Stanford Business School, March 1995, <a href="http://www.gsb.stanford.edu/research/faculty/news_releases/peter.reiss/werner.htm">http://www.gsb.stanford.edu/research/faculty/news_releases/peter.reiss/werner.htm</a> (printed Nov. 3, 2003)	
		Ljungqvist, Alexander P. et al., "Hot Markets, Investor Sentiment, and IPO Pricing", November 6, 2003, AFA 2004 San Diego Meetings; Twelfth Annual Utah Winter Finance Conference; Texas Finance Festival; posted November 2, 2003 at <a href="http://papers.ssrn.com/sol3/papers.cfm?abstract_id=282293">http://papers.ssrn.com/sol3/papers.cfm?abstract_id=282293</a>	
		Brown, David P. et al., "Adjustable Limit Orders", March 15, 2002, posted June 1, 2000 at <a href="http://www.kelley.iu.edu/Finance/wp3.htm">http://www.kelley.iu.edu/Finance/wp3.htm</a>	
		Web Pages for "Order Types Available on RealTick®" at <a href="http://www.terranoaonline.com/TNO_Forms/PDF_Forms/RT_OrderTypes.pdf">http://www.terranoaonline.com/TNO_Forms/PDF_Forms/RT_OrderTypes.pdf</a>	
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